



OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
WASHINGTON, D. C. 20301

COMPTROLLER
(Administration)

30 June 1972

ADMINISTRATIVE INSTRUCTION No. 16

SUBJECT : Executive Development Program

- REFERENCES: . (a) DoD Instruction 1430.5, "Civilian Employee Training Policies and Standards", dated 28 September 1971
- (b) DoD Instruction 1430.8, "Manager Training and Development of Civilian Employees in the Department of Defense", dated 30 October 1970
- (c) DoD Directive 1430.2, "Assignment of Responsibilities for Civilian Career programs", dated 9 May 1966
- (d) FFM Letter 412-1, dated 8 October 1971, "Guidelines for Executive Development in the Federal Service"
- (e) DoD-Wide Training Agreement for Exchange Assignments for Development of Managers for the DoD, approved by CSC 30 September 1971

I. PURPOSE

The purpose of this instruction is to implement references & through e, and provide policies and procedures to be used in identification and selection of potential and incumbent executives for executive development.

II. POLICY

An Executive Manpower Resources Board chaired by the Deputy Assistant Secretary of Defense (Administration) and composed of representatives from the Organization of the Joint Chiefs of Staff, Director of Defense Research and Engineering, Offices of the Assistant Secretaries of Defense and Offices of the Assistants to the Secretary of Defense has been established. The Board will assure adherence to the policies outlined below. Specific responsibilities of the Board and each member are contained later in this instruction.

A. Assure effective long- and short-term executive development by identifying and developing individuals in grades (S-13.15 who demonstrate high executive potential.

B. Provide **developmental** experiences for executives in grades **GS-16-18** and equivalent to enable each **to develop fully** consistent with needs of his office, **his own interest**, abilities and **willingness** to achieve **his** potential..

C. Prepare individual development **plans** for both **groups** by determining training and development needs, and providing training to meet those needs.

D. Establish **rotational** and mobility assignments as part of the overall Executive **Development Program**.

E. Assure that management objectives for executive development are being met through meaningful **evaluation**.

F. Allocate" sufficient **resources** for **establishing and** maintaining an effective Executive **Development Program within** the Office of the Secretary of Defense.

G. Assure that equal opportunity **is** afforded **women** and minority **group** employees in all executive development and *training*.

III. Scorn ,

This Instruction applies to **all** organizational entities assigned to **OSD**, the Organization of the Joint Chiefs of Staff, and other activities assigned to OSD for administrative support not covered by other Executive Development Programs.

IV. RESPONSIBILITIES

A. Heads of organizational entities are responsible for:

1. Approving selections and plans of **high-potential GS-13-15's** and incumbent **supergrades in their offices** prior to submission of the **plans** to the Executive Manpower Resources Board.

2. Nominating high-potential **GS-13-15** employees and **supergrades** for courses and assignments which **come** to light as a result of development **plans**.

3. Approving **reassignments**, details, or **leaves** of absence in conjunction with mobility and rotational **assignments** within and outside of **OSD** .

4. Nominating individuals for long-term-training, the Federal **Executive** Institute, and the **Civil** Service-Commission Executive Seminars.

5. **Replacing representatives** to the Executive Manpower Resources Board, as necessary.

B. The Executive Manpower Resources Board (EMRB) will be responsible for:

1. Recommending **policy** for **the Executive Development Program**.
2. Recommending selections **for** long-term training and the Federal Executive Institute.
3. Recommending and monitoring all mobility assignments between Assistant **Secretaries** of Defense, the Office **of** the Secretary of Defense and other **government** agencies, the Office of the Secretary **of** Defense and private industry.
4. Reviewing training resources to provide **maximum** opportunity to OSD executives for **agency, interagency, and** non-government training.

59 In conjunction with the Director of Personnel, evaluating and reporting the effectiveness of the Executive Development program as required by the Civil Service Commission.

c. Members of the Executive Manpower Resources Board (EMRB) will be responsible for:

1. Identifying and **recommending** mid-managers **GS-13** to **GS-15** with executive potential.
2. Reviewing development plans on mid-managers with executive potential and incumbent executives.
3. In conjunction with supervisors, insuring that potential executives receive training called for in executive **development** plans.
4. In conjunction with supervisors, screening nominations for long-term training and the Federal Executive Institute for submission to the Executive Manpower Resources Board for final approval.
5. Recommending rotational assignments within **their** own organization which have come to light through development plans or other sources.
6. Evaluating and reporting the effectiveness of the Executive **Development** Program in their own organization annually to the **chairman** of the Executive Manpower Resources Board and the head of each organizational entity by 15 September of each year.

D. Supervisors are responsible for:

1. Evaluating executive potential of their employees, **GS-13** to **GS-15**, by employee career appraisals, education, training, and experience.

2. Counseling employees **as** to their training needs.

3. **Annually** conducting a **career** appraisal interview with each **employee, GS- 13** and above, and **developing** a **career development** plan for each, as appropriate. (Some situations such **as** planned retirement or **departure** or individual career objectives would make a **career** development plan inappropriate.)

4. Forwarding career appraisals **and** plans to the **board** member for their organization.

5. Supplying information to heads **of** organizational entities **concerning** future executive staffing requirements and projected key position **replacements**, as requested.

6. Submitting **nominations** for **training through** heads of organizational entities for all mid- level managers of high potential and incumbent executives.

7. Nominating through heads of organizational entities exceptional employees for **long-** and short-term training experiences as requested annually in December **of** each year.

E. Employees at the GS-13 to GS- 15 level are responsible for:

1. Filing application for Executive Development program.

2. Discussing career appraisals and training needs with supervisors at least annually.

3* Updating applications on an annual basis.

4. Taking advantage of opportunities for self-development.

5. Making themselves available for rotational assignments, details, and **other** mobility assignments.

F. The Director of Personnel, who is also designated the Executive Manpower Resources Officer, is responsible for:

1. Furnishing board members data and statistics on aging of the workforce, turnover rates, and other information used to establish executive needs.

2. Acting as Executive Director of the Executive Manpower Resources **Board** and reporting in this function to the Chairman.

3. Maintaining **liason** with the **Civil** Service Commission on executive development.

4. Maintaining records for the Executive Development Program.
5. Assisting with coaching **and** counseling, defining performance evaluations and objectives, and preparing executive development documents
6. Exploring and publicizing agency, interagency, and **non-**government **long-** and short-term training opportunities for executives and potential executives.

79 Coordinating and subletting to the Civil Service Commission evaluation reports on executive development, as required.

V. PROCEDURES

A. General

1. Procedures in this instruction will be flexible **in** that organizations, depending upon their size, may **accomplish** the objectives of the program either by using designated members of the Executive Manpower Resources Board as the focal point or have ad hoc committees for the **same** purpose. Methods for predicting future executive needs and **identif** icat ion of potential **executives will** be left up to individual organizations, subject only to guidelines furnished herein.

2. **Limitations** will not be set as to numbers of potential executives identified, although organizations should reasonably limit these to a small percentage. **(Probably not more than 15 to 20 per cent)**

B. Establishing executive needs.

1. Heads of organizational entities **in** collaboration with the Director of Personnel will by 30 July of each year **canvass** their **organi-**zations and project executive needs over a five-year period. This will be done by identifying:

- a. **Positions** presently vacant.
- b. Those in which vacancies are anticipated over next five years.
- c. New executive manning *requirements* anticipated over next five years due to reorganization or additional workload or mission requirements.

2. **The** Director of **Personnel, ODASD (A) , OASD(Comptroller)**, will furnish to heads of organizational entities or their **committees data** on turnover studies, retirement projections, and supergrade assignments in order for them to identify executive needs.

c. Identifying and developing career plans for mid-managers of high potential.

1. By 30 July of this year and annually thereafter, Executive Manpower Resources Board members will submit to each supervisor of GS- 13 to GS- 15 employees a three-part employee career appraisal form. Attachment 1, Part I will be filled out by the employee; Part II will be completed by the supervisor; and Part III will be completed jointly by the supervisor and employee through interviewing and counseling sessions.

2. One copy of the form will be retained by the supervisor and one copy by the employee.

3. Supervisors will identify and forward to the appropriate Executive Manpower Resources Board member copies of the career appraisals and plans of those GS-13's, 14's, and 15's that are considered having maximum potential for higher executive responsibilities. Decisions will be based upon the employees' experience, education, and performance appraisal.

4. Board members or committees will then rescreen these candidates and recommend those most suitable for mobility assignments, on-the-job training, formalized interagency or non-government training, and long-term training assignments.

5. Heads of organizational entities will make final selections which will designate high-potential GS-13 to GS-15's. (Probably not more than 15 to 20 per cent.) They will assure that supervisors enact these development plans as outlined over the next twelve-month period.

6. A copy of the finalized training plan will be forwarded to the Executive Manpower Management Officer (Director of Personnel) to be incorporated into the annual report to the Civil Service Commission.

7. It will be the joint concern of the employee, the supervisor, board members, and the Director of Personnel to insure that the training plans are carried through to the maximum extent possible consistent with mission requirements.

8. The training and Career Development Officer will be available throughout these procedures to offer advice and assistance regarding long- and short-term training opportunities, rotational assignments and other developmental activities.

D. Developmental Plans for Incumbent Executives

1. By 30 July of this year and annually thereafter, the Chairman of the Executive Manpower Resources Board will submit to the supervisors of all executives GS- 16-18 and equivalent forms for career development plans, Attachment 11. It is expected that some plans may be minimal in content and for some individuals no plan will be required: (Non-career executives, persons expected to retire, PL's planning to return to private industry, etc.)

2. Supervisors **will** discuss career development plans with all executives, G&16-18, **under** their supervision--both will sign the approved plan and forward two copies to the **executive** development board member.

3. **Board members or committees** as directed by **heads** of organizational entities and in conjunction with supervisors, will review these plans and arrange for rotational assignments, details, on-the-job training, and short-term training, as required.

4. A copy of the finalized plan will be forwarded to the Executive Manpower Management Officer (Director of **Personnel**) to be incorporated into the annual report to the Civil Service Commission.

E. Long-term training, fellowships, Federal Executive Institute

1. The **Executive** Manpower **Management** Officer (Director of Personnel) will issue annually through Executive Manpower Resources Board members a bulletin describing long-term training opportunities for the coming school year. This bulletin will be issued in December of each year.

2. Heads of organizational entities will submit nominations to the Director of Personnel after **careful** screening by their Executive Manpower Resources Board member. The Director of Personnel will evaluate the **nominations** and make recommendations for selection to the Executive Manpower Resources Board.

3. The Executive **Manpower** Resources Board **shall** meet in **closed** session and evaluate all nominations **for** final selection for long-term training and the Federal Executive Institute. Final selections will be made by a **majority** vote of the Board.

4. The Director of Personnel will make the necessary administrative arrangements for enrolling selectees into appropriate courses of instruction.

F. Mobility Assignments

1. The Executive Manpower Resources **Board in** collaboration with the Director of Personnel will arrange for mobility assignments which involve exchanges with other government agencies, private industry (the Executive Interchange program) and interchanges between Assistant Secretaries of Defense or equivalent organizational elements of the Office of the Secretary of Defense.

2. After development plans have been established for **high-**potential candidates and incumbent executives, heads of organizational entities will identify those which call for rotational assignments or those whom they judge to be particularly amenable to this type of developmental experience. They will bring these nominations **to** the attention of the Board.

3. Heads of organizational entities will screen their organizations for possible interchange assignments, **extended vacancies**, or positions encumbered by persons willing **and qualified** to participate in an exchange program. They will submit these proposals to the Chairman of the Executive Manpower Resources **Board**.

4. When exchange assignments have been approved **by** a majority vote of the Board, the Executive Manpower **Management** officer will be called upon to make necessary administrative arrangements by having **interested** parties complete an exchange agreement. See attachment.

5. Rotational assignments will usually last from six months to two years (Reference E). Shorter details or **temporary** assignments can be made but will not be official unless **for** thirty days or more. Length of assignment will be **mutually** agreed-upon before the assignment begins. Detailed plans **for** use of the employee after rotation will also be made as a matter of written record.

6. Rotational assignments within the Offices of the Assistant Secretaries of Defense will be approved by the Director of Personnel and the board member or committee for the Office of the Assistant Secretary of Defense. Copies of final written agreements and all evaluations will be submitted in duplicate to the **Executive** Manpower Management Officer for insertion into employee 201 files.

G. Training Resource Utilization

1. On-the-job training and development - Since most satisfactory results are gained through training and exposure to new challenges on the job, this training ground will be our most important source **of** executive development for high-potential and incumbent executives. Development plans will be specific as to on-the-job developmental training or mobility assignments proposed, such as details, vacation understudy assignments, reassignments, and interchanges.

2. Each year at least four incumbent executives, **GS-16-18**, will be selected for participation at the Federal Executive Institute.

3. A total of **six** executives each year may be selected for long-term training at the Industrial College of the **Armed** Forces, one of the service war colleges, the Foreign Service Institute, or **an** OSD fellowship at a private institution, such as Harvard University or Princeton University (Reference A). Civilian **or** mobility replacements for persons attending long-term training will be provided whenever possible.

4. **Six** to ten high-potential executives will be selected each year **for** two-week Civil Service Commission Executive Seminar sessions.

5. The Office of the Secretary of Defense **will** participate in the **President's** Personnel Interchange **Program** with industry.

6. Sufficient **funds** will be budgeted for executives to attend college- level graduate **and** undergraduate e night Courses, inter-agency technical **and** managerial training, and **job-related** conferences and seminars as proposed in executive development plans.

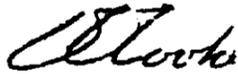
H. Program Evaluation

1. At the end of each calender year **commencing** 15 September 1972, each board member will **re-examine** developmental plans prepared in his organization **against** on-the-job training, formal classroom training, **long-term** training, and mobility assignments actually carried out. This data will be recorded, tabulated, and submitted to the Chairman of the **Executive** Manpower Resources Board, along with a record of changes of **assignment** such as promotions which show actual proof of career development **of individuals in the program.** - .

2. The Executive Manpower Management Officer will be responsible for obtaining written evaluations of training from both employees and supervisors of employees selected for training under the Executive Development **Program.** He will provide a documented **report** to the Chairman of the Executive Manpower Resources Board on the written evaluation and positive evidence of executive development or growth of persons completing **long-term** training assignments.

VI. EFFECTIVE DATE

This instruct ion is eff **ective** upon publication.



D. O. Cooke
Deputy Assistant Secretary of Defense

Attachments

EMPLOYEE CAREER APPRAISAL--SECTION 1 - APPLICATION

DATE	NAME	GRADE, TITLE, ORGANIZATION , AGE
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EDUCATION (SCHOOL AND MAJOR FIELD OF STUDY)

<u>HIGH SCHOOL</u>	<u>UNDERGRADUATE</u>	<u>GRADUATE</u>	<u>PHD</u>
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EXPERIENCE OVER LAST TEN YEARS -- LIST ONLY JOBS IN WHICH DUTIES CHANGED SIGNIFICANTLY OR LAST THREE POSITIONS

From - To	Job Title	Organization
(1)		
(2)		
(3)		

DESCRIPTION OF DUTIES -- Three sentences 'or less

(1)
(2)
(3)

AWARDS RECEIVED (Last Five Years)

Willing to take a mobility assignment six months to three years elsewhere in OSD?
 Yes No **In another agency? Yes No**

SECTION 3 . DEVELOPMENT PLAN
(GS-13-15)

TECHNICAL TRAINING (Subject matter field strictly related to job)

SUPERVISORY OR MANAGEMENT TRAINING

COMMUNICATIONS (Effective writing, Speedreading, Conference Leadership, Public Speaking

ON-THE-JOB TRAINING (Increase responsibilities, reassign workload)

MOBILITY ASSIGNMENTS (Within office, ASD, outside of agency)

LONG-TERM TRAINING (Defense colleges, semester of one-year graduate fellowships, Federal Executive Institute)

Employee Signature

Supervisor Signature

CAREER DEVELOPMENT PLAN (GS-16-18)

NAME _____ GRADE _____ ORGANIZATION _____

INSTRUCTIONS: In each of the areas **listed** below, **supervisor** and **employee** should **jointly** identify training and development needs under the appropriate **headings**. Plans should be **as specific as possible** showing dates, course titles (if known), terms of rotational assignments, etc. One copy is to be retained by the organization and two copies forwarded to the Executive Manpower Resources Board member for your organization.

A. Planned Development on the Job -- What additional responsibilities or increased exposure could be given the **employee** to increase his future executive capabilities and potential; for example, increased congressional liason, program budget review, systems analysis **cost-effectiveness studies**, etc. . . .

B. Rotational Assignments -- Executive **Interchange Program** with private industry, interchange with other agencies, details and temporary assignments within **organizations** and between **ASD's**.

C. Technical Training -- Short courses and seminars considered necessary for increased performance in technical aspects of the job (**ADP**, systems analysis, statistics, **R&D** mathematics, engineering).

D. Managerial Training -- Managerial courses found in **graduate and** undergraduate business administration **curricula, human relations, effective supervision and leadership, et. .**

E. **Long-term Training** and the **Federal Executive Institute** -- Princeton Fellowship in Public Affairs, any of the War Colleges including "the Armed Forces Staff College and the **Industrial College of the Armed Forces, the Senior Seminar in Foreign Policy (Foreign Service Institute),** and OSD fellowships to other private **institutions.**

F. . Special Skills -- Public speaking, conference leadership, sensitivity **training, etc.**



OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
WASHINGTON, O. C. 20301

COMPTROLLER
(Administration)

SUBJECT : Developmental Exchange Assignment

TO:

1. You have been selected to participate in the Agency's Exchange Assignments Program for the Development of Managers.
2. The purpose of this exchange is to reinforce training and development opportunities available to you in the OSD(DoD) Civilian Career Program applicable to your function with practical experience.
3. Effective _____, you will be performing the duties of Position No. _____, (title) _____, in the _____ in a trainee capacity for a period of _____. The authority for effecting the exchange assignment is Civil Service Commission Letter dated 5 September 1968. For personnel and payroll purposes, you will continue to occupy the official position from which you are exchanged. Also, during the exchange assignment you are eligible to apply for position vacancies and academic training opportunities for which you are qualified.
4. A developmental plan establishing training assignments which you will fulfill during the exchange period is enclosed. Your progress as an exchangee will be appraised at three-month intervals and plans for your further development discussed with you. The final career appraisal will be documented and filed in your Official Personnel Folder. This documentation will serve to record the exchange assignment as qualifying experience in the _____ career field consistent with the Provisions of U. S. Civil Service Commission Handbook X118, Qualification Standards for White Collar Positions under the General Schedule.
5. You are to be commended for your interest in improving your capability so that you may more effectively contribute to the accomplishment of the Agency's mission.

1 Encl
Training Plan

Attachment #3

PERFORMANCE APPRAISAL OF POTENTIAL--SECTION 2

C A L E (1) Best ever seen or envisioned (2) Outstanding, **above all others**
 (3) **Outstanding among** peers (4) **Superior** (5) Excellent (6) Above average
 (7) Average (8) Below average

Appraisal Elements	Performance (Describe)
1. TECHNICAL COMPETENCE (Soundness of decisions solutions and recommendations, quality of the work produced).	
2. QUANTITY AND TIMELINESS (Meeting of schedules and deadlines, accomplishing of workload in order of priority).	
3. WRITTEN COMMUNICATION (Expression of ideas <i>in</i> a clear, precise, and convincing manner).	
4. ORAL COMMUNICATION (Expression of ideas in a clear , concise, and convincing manner).	
5. HUMAN RELATIONS (Building and maintaining effective relationships, working harmoniously with others, considering other viewpoints and being willing to give assistance).	
6. SUPERVISION AND ADMINISTRATION (Development of employees, respect, loyalty , and cooperation gained, effectiveness of delegation of authority, distribution of work. coordination and control of diversified activities, assuring conformance of high standards, planning and organization; or if not a super- visor, assess potential for supervision. Specifically cover furthering of equal employment opportunity.)	